DOCUMENT RESUME

ED 376 599 EA 026 312

AUTHOR Busick, Kathleen U.; And Others
TITLE Synthesis of the Research on Educational Change. Part 1: Overview and Initiation Phase. Part 2: Implementation Phase. Part 3: Institutionalization and Renewal Phase.
INSTITUTION Pacific Region Educational Lab., Honolulu, HI.
SPONS AGENCY Office of Educational Research and Improvement (ED), Washington, DC.
PUB DATE Nov 94
CONTRACT RP91002009
NOTE 17p.; For related document, see ED 349 705.
AVAILABLE FROM Pacific Region Educational Laboratory, 828 Fort Street Mall, Suite 500, Honolulu, HI 96813.
PUB TYPE Information Analyses (070)

EDRS PRICE MF01/PC01 Plus Postage.
DESCRIPTORS Change Strategies; *Educational Change; Educational Improvement; *Educational Innovation; Elementary Secondary Education; *Program Development; *Program Implementation
IDENTIFIERS *Pacific Region

ABSTRACT

New approaches to education are being advocated and implemented throughout the Pacific region. This is the first of a series of papers on the broad phase of educational change: initiation, implementation, and institutionalization and renewal. It seeks to provide Pacific educators with updated information about the change process, with a focus on the initiation phase. Part 1, originally published as a separate paper in November 1991, draws on Fullan's change factors to formulate questions about change. It presents a matrix based on relationships and dimensions to assess the status of change. The initiation phase requires identification of a high-priority need, the engagement of key people who advocate the change, and a focus on what needs to be changed. Part 2, originally published as a separate paper in October 1992, describes the human dimension and key change factors in the implementation phase. It discusses the "implementation dip"--the period between discarding old strategies and the mastery of new ones--and the use of internal and external facilitators. Part 3 focuses on institutionalization and renewal of educational change, that is, how to keep desired changes in place and how to continue to grow. A brief discussion of institutionalization is followed by questions to guide institutionalization and renewal. What research tells us about institutionalization and renewal is then discussed, including lessons from the past and present, and funding as an obstacle as well as an opportunity is considered. A final statement on what needs to be done to effect successful change concludes the document. (LMI/AA)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

EH

PACIFIC REGION EDUCATIONAL LABORATORY
828 Fort Street Mall ◆ Suite 500 ◆ Honolulu, Hawaii 96813

A nonprofit corporation for educational research and improvement, serving Pacific children and educators in ◆ American Samoa ◆ Commonwealth of the Northern Mariana Islands ◆ Federated States of Micronesia: Chuuk, Kosrae, Pohnpei, Yap ◆ Guam ◆ Hawaii ◆ Republic of the Marshall Islands ◆ Republic of Palau

ED 376 599

Synthesis of the Research on Educational Change

Part 1:
Overview and Initiation Phase

by Kathleen U. Busick and Rita Hocog Inos

First published November 1991.

Part 2:
Implementation Phase

by Kathleen U. Busick and Rita Hocog Inos

First published October 1992.

Part 3:
Institutionalization and Renewal Phase

by Mary Hammond
with Rita Hocog Inos and Kathleen U. Busick

Parts 1 and 2 were originally published and distributed separately. With the completion of the ***Synthesis of the Research on Educational Change,*** *they are now being reissued with Part 3.*

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
This document has been reproduced as received from the person or organization originating it.
Minor changes have been made to improve reproduction quality.
Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

BEST COPY AVAILABLE

EA 026 312

Part 1: Overview and Initiation Phase

Educational Change in the Pacific

As we head toward the 21st century, the pace of change is accelerating. Major changes are taking place throughout the Pacific islands. These include changes in political status, economics, and population, as well as a substantial increase in the movement of Pacific islanders within and beyond the region. All these factors call for significant changes in educational practices.

New approaches to education in the region are being advocated and implemented throughout the Pacific. These include: whole language; interdisciplinary curriculum; heterogeneous grouping of students; cooperative learning teams; and initiatives that alter the locus of control for improvement, such as site-based management, shared decision making, and community governance systems. School improvement is increasingly the responsibility of local schools, and along with school-level decision making comes increased accountability for student learning outcomes. At the same time, policy-making bodies such as local school boards are being reactivated and energized throughout the region. School leaders and policymakers within the region will determine what changes occur and how they will take place at the local level.

This is the first in a series of papers on the broad phases of educational change: initiation, implementation, and institutionalization and renewal. The purpose of this first paper is to provide Pacific educators with updated information about the change process, with a focus on the initiation phase.

Current Pacific Initiatives

Educational change is actively underway throughout the Pacific region. A number of schools in Hawaii and the Marshall Islands are altering relationships among teachers, parents, students, administrators, other school staff, local governing bodies, communities, and the central administration. The Commonwealth of the Northern Mariana Islands (CNMI) is linking school improvement, restructuring, and an accountability system. Demonstration schools in Chuuk are trying out instructional programs and innovations that, if successful, will be expanded to outlying schools throughout the state. Pohnpei and Yap states are engaged in implementing five year plans and curriculum frameworks. Kosrae has adopted a four-day school week and is moving substantial decision making and responsibility directly to schools. American Samoa is expanding leadership training as a key to student growth through school level improvement. Palau's effective schools process is guided by principals and involves parents and community members in school change. Guam is installing an integrated curriculum and aligned assessment along with an effective schools project.

As Pacific educators initiate fundamental school and systemwide reforms, there is need for:

1. Information about the nature of educational change and the factors that strengthen and/or inhibit improvement efforts.
2. Validation of research on educational change within Pacific cultures and contexts.
3. Understanding among key decision makers about the characteristics of successful change initiatives.
4. Strategies for initiating, implementing, and sustaining changes to improve education outcomes.
5. Strategies for effective support of school level improvement.
6. Strategies and tools for evaluating the impact of a wide variety of changes on student performance.

What Research Tells Us About Educational Change

Educational changes imported from other systems have the potential to create chaos when they do not address the real needs, context, and cultures into which they are introduced. In addition, some innovations carry with them costs that cannot be sustained over time. By contrast, educational innovations designed and implemented by Pacific islanders to improve schools

and student learning can achieve their visions for the success of the Pacific child.

Research supporting the vital role of local decision making in educational change can be found in the Rand Change Agent Study (1975). One of the earliest systematic studies of educational change, the Rand Study looked at federally funded projects and described the role of federal policy and local responses as well as "outputs"—actual improvements in school practice. Before the Rand Study, the assumption underlying early federal projects was that policy set at the federal level would improve local school strategies and outputs (McLaughlin, 1990). The Rand Study identified the crucial role of the local context in achieving successful educational change: Projects that had the active commitment of district leadership and locally-selected implementation strategies surpassed the outcomes of "outsider" change agent projects.

When the Rand Study findings were "revisited" 15 years later, McLaughlin (1990) noted that the following findings of the original study endure:

- Policy cannot mandate what matters: Local capacity and local will are what matter most for achieving educational outcomes.
- Local variability is the rule; uniformity is the exception. Looking for the "right way" to change is counterproductive as "how to change" will look different from place to place. Variations in approaches to change are healthy, not signs of problems.

Canadian researcher Michael Fullan has extensively documented the characteristics of successful change efforts in schools and school systems both large and small, resource rich and resource poor. He has also synthesized the research of many others (including Miles, Huberman, Hord, Rutherford, Huling-Austin, and Hall) to provide educators with information about characteristics or "change factors" found consistently in innovations that succeed. Fullan cautions that the research on change does not provide hard-and-fast rules about how to implement change. Rather, the research provides broad guidelines with details that will vary for each local situation and context.

Questions to Guide Educational Change

For this paper, Fullan's change factors have been reframed into questions to guide people involved in the process of change. As we consider significant changes in curriculum, instruction, assessment, grouping, scheduling, facilities, relationships with families and community, governance, and policies, the following questions provide a framework for local leaders:

Initiating Educational Change

Is the proposed educational change linked to high priority needs?

Are the changes we are considering built around a clear model?

Do we have a strong advocate who is committed to educational improvement and will provide leadership during initiation?

Are we planning to actively initiate the improvement effort and involve those who will be asked to change by inviting their ideas and contributions to the vision?

Implementing Educational Change

Have we identified a person or people who will be responsible for our change effort? (Who is in charge?)

Are we building shared control so that teachers, principals, family, and community members are involved and empowered to come together, share concerns, and act?

Are we providing both pressure and support? (Pressure to keep things moving; support to ensure success. Peer coaching is an example of a strategy that combines both pressure and support.)

Are we providing technical assistance? Assistance from within our own system? Assistance from outside the system that supports the changes we envision?

Have we planned appropriate rewards for people in the process of change? (It is especially important to have early rewards so that people will persist when initial "costs" of risk, time, effort, energy, and commitment are high.)

Sustaining and Institutionalizing Educational Change

Is our innovation embedded into the educational system? (Is it linked to the heart of the budget?)

Are our educational improvements linked to instruction? (Do the changes affect day-to-day classroom practices?)

Is there widespread use of improved practices? (Are the practices we are implementing used across grades and subject areas?)

Have we removed competing priorities so that people involved in the change are protected from additional duties or distractions? (Overload is a serious threat to successful change.)

Is there ongoing assistance? Are people involved in change being given sufficient information, opportunities to practice and develop skills, and ongoing assistance to strengthen and expand their mastery and understanding? Are new administrators and teachers given information and assistance to involve them in the change?

The Realities of Change: Initiation

The real meaning of change lies in its human, not its material, dimension. Huberman and Miles' (1984) research about people in the process of change suggests that a period of anxiety is part of the change process, and that people often change their practices before they change their beliefs and understanding.

Huberman has examined another underlying issue in educational change: the distribution of power. People involved in change efforts need to be aware of the politics of power in the change process. Innovation, he suggests, is about power and the redistribution of power. Restructuring initiatives, for example, focus on shared decision making that opens up the change process to teachers, parents, and community members. This represents a distinct departure from the power structure that currently exists in schools and departments of education.

Change involves risk taking. It often appears messy in the early stages as teachers, principals, and others depart from what they know well to try new practices and strategies. Initiators have no guarantees that the changes they are introducing will succeed. It is normal for people to feel overwhelmed and even threatened in the early stages of significant change. The laws of physics apply in human change: Things (and people) like to stay the way they are; things (and people) like to keep on doing what they are already doing. One reason for early rewards is to affirm the risks that teachers and others are taking and to encourage them to sustain their efforts.

Fullan's studies of educational change have generated some advice and reminders to help people in the initiation phase:

1. Change is a process not an event.
2. It is important to consider both the content (the what of education change) and the process (the how).
3. Don't assume anything. Clarify, discuss, check.
4. Don't limit your expectations; don't wait for perfection—start!
5. People's practices and behaviors often change before their beliefs.
6. Commitment develops, evolving over time.
7. Successful innovation involves a process of rethinking and redoing.

The Change Matrix

In *The New Meaning of Educational Change* (1991), Fullan describes change as multidimensional. He notes that change can occur at many levels, such as the classroom, school, district, or state. Implementing change can involve each of these levels. Within any level there can be changes that occur at the surface (e.g., new materials); changes that involve use of new practices and behaviors (e.g., new teaching approaches); and changes in the deep structures that affect the beliefs and understanding of individuals engaged in change. As Fullan points out, the phases of change are overlapping, not discrete.

In addition to the dimensions of change described by Fullan, another fundamental element is changing relationships among people engaged in educational innovation. Carl Glickman and his colleagues at the University of Georgia Program for School Improvement have documented work currently underway among schools in the League of Professional Schools in Georgia (1991). They have identified three ways people relate while engaged in educational change:

- People work in isolation, with changes made in isolation (e.g., within individual classrooms or by school leaders operating alone).
- People work in a congenial, friendly atmosphere, and may discuss their work, school events, and activities.
- People work together collaboratively—discussing, arguing, planning, considering alternatives, and sharing successes and concerns. These people are fully engaged in shared decision making.

Putting together Fullan's work on dimensions of change and Glickman's on people in the process of

change, the authors of this paper have developed a matrix that can be used to assess the current status of a specific educational change. Is change taking place at the surface? Are people being friendly but not really feeling the ownership that comes from collaboration? Are some individuals acting on deeply held beliefs but in isolation from others? Initiators of change need to look at the reality of where people are starting from. The matrix can be used to chart progress, both in terms of the dimension of change and the change in relationships among people. Movement from working in isolation to working in a friendly, congenial atmosphere is a major step. Fullan reminds us to think big, but to start small.

Relationships within the Change Process

Dimensions of Change	Isolated	Friendly	Collaborative
Surface			
Practices/ Behaviors			
Beliefs/ Understanding			

Change Research in the Pacific Context

Pacific educators and leaders often find themselves caught in initiatives that are the direct result of national reform policies. Other changes arrive in the various Pacific islands as requirements that are mandated for financial support. Other innovations are introduced from throughout the world via many modes of diffusion, including service providers and commercial vendors.

The need for local decision making in the Pacific is stronger than ever. Local consideration of new initiatives begins with a practical set of questions, such as: Why change? Change what? Change how? Change who? Does the proposed change address unmet needs? Is it a priority among unmet needs? Are there adequate resources? Policies? Who benefits from the change? As people move from consideration to initiation, the change process is underway. Knowledge of characteristics of change, typical reactions of people in the process of change, and time and resource factors that accompany significant improvement—all can prove useful as local decisions are made for the benefit of Pacific children.

Because change research cannot provide a prescription for success, Pacific educators need to identify and define success factors in their own context. Questions about the context of change include: What does shared control look like in Pacific education? Who must be involved in decision making? Are there differences in who needs to be involved in different entities? Who can be the strong advocate? Who can't? What are culturally appropriate rewards? and How can recognition of progress take place without singling out individuals? Some aspects of educational change may be common across Pacific and international education; some may be unique within the specific contexts of individual Pacific jurisdictions. To work, change has to be part of ongoing reality.

PREL in the Pacific Change Process

The Pacific Region Educational Laboratory (PREL) is currently addressing the challenge of change with strategies that build on locally initiated innovations. PREL facilitates the exchange of information about effective and appropriate strategies for initiating, implementing, and sustaining real improvement in learning throughout the region. To support growth from within, PREL is working with Pacific educators and communities through:

- Awareness and information activities for educational leaders and policymakers.
- Incorporation of change research in the training and information modules under development by Pacific school improvement trainers in the Pacific Region Effective and Successful Schools (PRESS) process.
- Ongoing technical assistance for classroom assessment and school partnerships that includes assessment of change in the three dimensions identified by Fullan (surface, behaviors, beliefs), alterations in roles and relationships as schools and districts restructure, and the impact of educational innovations on student performance.
- Training locally-based trainers to assure sustained assistance from within the Pacific region.
- Facilitating local and regional research to meet priority educational needs.

Part 2: Implementation Phase

Implementing Educational Change

As Pacific educational leaders strive to make their educational systems meaningful for their own island people—both systemwide and at the individual school level—lessons can be learned from the research on change. Part 1 of this series focused on key questions to be answered from within as changes are initiated in Pacific education. During the initiation phase a high priority need is identified, key people are engaged and actively advocate the change, and the focus is on what needs to be changed. Part 2 asks additional key questions to guide educators and their partners as they move into action. During the implementation phase, the energy and enthusiasm that often accompany the initiation of change begin to be tempered by the realities of the tasks as well as the reactions and concerns of the people involved.

The Pacific region is participating in the discussion taking place throughout the world on ways to provide the highest quality of education. Too often, innovations have faded away as financial support diminished. High student interest and even positive student outcomes have been attributed to exciting—but short-lived—projects. Why weren't such innovations more enduring? Perhaps greater knowledge of the process of implementing change can help Pacific educators at all levels to preserve positive innovations.

What Research Tells Us About People Implementing Change

In the Pacific region, school/community-based management is being implemented in Chuuk, Hawaii, and parts of the Marshall Islands, and the roles of parents and community members are being redefined. Looking at systematic school improvement efforts now underway in Guam, the Commonwealth of the Northern Mariana Islands, Palau, Pohnpei, Kosrae, Yap, and American Samoa, we see the very real human dimensions of change. Throughout the region, change in education interacts with cultural, economic, political, and social change as well. The stresses of multiple changes add complexity to the implementation of innovations in education.

Educators in the process of change may be asking themselves: How will I need to change? What will I need to do differently? How will the new practices affect me...my students...our culture? How can I manage the changes? What are some examples of the practices in use? How can I assess growth and progress? What do I need to do to make it work? Who can help? Where will the time come from?

Documenting the stages that individuals go through as they change, researchers at the University of Texas at Austin developed the Concerns Based Adoption Model (CBAM) (1984, 1987). The researchers offer implementers insights into the sometimes painful personal growth that precedes significant change in practices. To change some*thing*, they suggest, requires that some*one* has to change first. Hord, Rutherford, Huling-Austin, and Hall's work is particularly useful because it suggests that anticipating people's concerns can enable innovators to focus on appropriate forms of support. Their work also reassures us that it is possible to anticipate much that will occur during a change process.

The primary concerns of individuals in the process of change are identified in these seven stages:

0. *Awareness*. At this stage, individuals are not concerned about the innovation.
1. *Information*. Individuals would like to know more about the innovation before they adopt the change and undertake new practices.
2. *Personal*. People at this stage are beginning to think about how the change will affect them.
3. *Management*. Concerns about how to make the change work characterize this stage.
4. *Consequence*. Individuals are beginning to make the new practices their own and now are concerned about how the change is affecting students.
5. *Collaboration*. People at this stage are trying to connect their work to what others are doing.
6. *Refocusing*. Individuals now have integrated

the practices into their professional lives and are examining ways to improve these practices.

Hord, Rutherford, Huling-Austin, and Hall group the seven stages into three main concerns. Typical comments from those involved reflect the concerns. For example, stages 0-2 can be seen as *concern for self:* I am not concerned about the innovation; I would like to know more about it; how will using it affect me? Stage 3 is a *concern for task:* I seem to be spending all my time getting materials ready; keeping track of progress is difficult; I am still not sure how to do this. Stages 4 to 6 are *concern for impact:* I am looking at the effects of the innovation on my students; I am concerned about relating what I am doing with what other instructors are doing; I have some ideas about something that would work even better.

In a document that summarizes CBAM, the Northwest Regional Educational Laboratory's Rural Education Program (1990) outlines interventions that are appropriate for each stage of concern. For example, people who are at Stage 0 can be supported through involvement in discussion and decision making about the innovation and its implementation. People who are concerned about their own role and the impact of the innovation on their work will be encouraged by support that recognizes their concerns and provides step-by-step information about how to implement new practices.

In the Pacific, as schools struggle with their school improvement plans, there is a great need to recognize individuals and their concerns. If school leadership values the ultimate outcomes of envisioned priorities and innovations, there must be better understanding of how individuals move from Stage 0 to Stage 6. Further dialogue and actual training on the change process are needed if Pacific education initiatives are to move beyond the initial stage of discussion. Educational leaders must seek to understand concerns of all individuals involved in the process of change. They must design strategies to address concerns, to ease tensions, and to pave the way for successful innovations.

Key Factors During the Implementation Phase

Michael Fullan's work on education change synthesizes his own research and the work of many others. Describing the complex relationship between key implementation factors and successful educational change, he suggests that "the more factors supporting implementation, the more change in practice will be accomplished." Fullan's (1989) research on successful educational change identified five major implementation factors: Orchestration, Shared [Responsibility], Pressure and Support, Technical Assistance, and Rewards. (Note: Although Fullan uses the term "Shared Control," the usage "Shared Responsibility" is more appropriate in the Pacific context.) Each factor contributes to success during implementation, and each has unique characteristics that reflect the visions and cultures of those involved in change. For example, the leaders who orchestrate change may differ from place to place. In many Pacific cultures, traditional leaders are crucial to ultimate success and their role in orchestrating the resources and participation of others must not be underestimated. Key questions linked to *orchestration* include: Is there clear leadership to bring together the various people and activities into a coherent whole? Is there someone in charge? Does the leadership consciously make connections between this change effort and the ultimate outcomes?

Shared responsibility and ownership by those involved is absolutely necessary for the success of any implementation plan. Ownership has to take precedence in the process of change. If the process is perceived to be owned by one or a few, resistance is likely from other affected individuals. For a smooth transition to effective implementation, all key partners are vital to the process. It is imperative that everyone involved has a shared understanding and commitment to the change process, knowledge of the strategies necessary to effect change, and the commitment to implement changes. Key questions that center on *shared responsibility* include: Is the change based on a need deeply felt by those who will be asked to change their practices? Who is involved? How are they involved? Is it clear how different partners can significantly contribute to the changes underway? Are there opportunities for people to make choices and to influence the decisions that they themselves will carry out?

Fullan notes that both *pressure and support* are essential during this phase. Pressure without support leads to conflict; support without pressure can limit results. Expectations, such as time lines for the completion of actions and products, are important to assure continued forward movement. Questions about pressure include: What forces must be considered? Which

forms of pressure are appropriate (e.g., deadlines, meetings at which people report progress, required written summaries)? How about visits from facilitators?

Key questions about support include: What kinds of support are needed and where do they come from? For example, is there an adequate allocation of resources to fully support the initiative? Where there is pressure to do things better, support must also be readily available. Financial allocations are necessary but are by no means the only resource that can make or break the implementation. Often times, implementers must rethink priorities and use resources in the most meaningful and fruitful ways. Marian Liebowitz (1991) suggests that people involved in significant change (such as restructuring) need to assume that there may not be large amounts of additional money or additional time, but rather that they need to decide what can be done by reallocating existing resources.

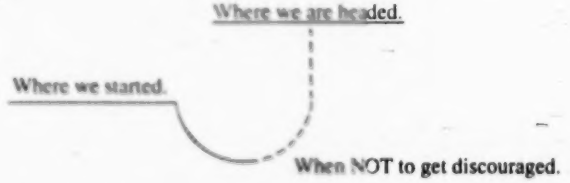
Implementation will not take place and be effective if it has to be accomplished within competing priorities. This does not mean that everything else that is happening must be dropped to accommodate the intended change. What needs to be done is some serious group rethinking and consensus building—shared responsibility—in prioritizing needs and the allocation of essential resources. Funding often is a major determinant in whether an initiative will be deemed high priority by those who are being asked to change. But funding in and of itself does not necessarily achieve positive implementation results. Along with money, another essential resource that must be prioritized and allocated is time and effort. For any implementation to be effective, there must be "protected time" allocated, a form of support that is essential in helping to establish a sound basis for long-term growth.

Fullan and others also document the importance of ongoing *technical assistance*. Significant change in education involves significant commitment to rethinking and relearning. Key questions include: Will training/technical assistance be provided to individual schools, clusters of schools, or systemwide? What training/technical assistance can be supported from within the school or the department? Will external facilitators be used? How can time be provided for training/technical assistance? What kinds of assistance and/or training are needed? Who should be involved?

Fullan's final implementation factor is *rewards*. Researchers identify this factor as crucial to success, and recommend that innovators carefully incorporate early rewards into their planning. But what does it look like in Pacific terms? Questions that must be answered include: What forms of recognition are appropriate in the Pacific? Who can reward? Are direct rewards appropriate? What are indirect ways to recognize improvement? Rewards in the Pacific island context relate to how communities and school leaders support ongoing efforts. Acknowledging the effort of individuals from time to time is an acceptable reward, given limited resources. Rewards and acknowledgment contribute to a climate that supports growth and encourages persistence rather than emphasizing deficiencies. In addition to the principal or school leadership team, acknowledgment can come from school board members, district level leaders, administrators, and community partners.

The Implementation Dip

Innovators should not expect instant success. By recognizing that it may take up to 18 months for staff members to incorporate new practices, leaders can create a climate that encourages teachers to risk imperfect early implementation. Fullan again provides valuable insight. He documents what he calls the "implementation dip." Again and again, in his study of effective and successful change initiatives, he identified a period where individuals have given up ineffective practices but have not yet mastered the new strategies. During this period (which can vary significantly in length) things actually get worse. Student performance may go down; teacher morale and test scores may decline; parent dissatisfaction may increase. This is normal! Leaders, change facilitators, and others who advocate change must recognize this pattern and be aware that it is characteristic of the early stages of implementation. This figure shows the implementation dip:



Many educational innovations, initiated with high expectations and enthusiasm, flounder and die in the

face of the implementation dip. Persistence, patience, and—especially—the time element are critical for sustaining the implementation. Leadership is also critical in maintaining the vision for change. Leadership encompasses the highest level of the system, central office resource people, school level administrators, and local school facilitators. Clear leadership throughout the system is essential for the success of any implementation plan. Leaders must share a collective vision on the implementation of a practice or policy. They are key players in helping to keep the priority focused and the vision clear, especially when times are difficult. Leadership's role is critical in moving the process out of the implementation dip and toward more positive growth and change.

The Roles of Facilitators During Implementation

The importance of leadership, especially when times are difficult, has been emphasized. Throughout the change process, implementers also benefit from the support of external facilitators and an internal facilitator. External facilitators contribute to the implementation stage by providing pressure and support as well as technical assistance. They support local efforts, but do not assume a leadership role. Often times, outside facilitators will be required to provide training or technical assistance on specific implementation processes or identified needs to support effective change. Other times, outside facilitators are used informally to assess progress and provide feedback—to lend a sympathetic ear when necessary. Implementers often feel less threatened by outside facilitators because their role is to support and provide honest assessment of implementation activities. They bring the issues out in the open for an objective review by everyone involved. School improvement facilitators encourage schools to measure their growth from where they began, not in relation to or in competition with other schools. External facilitators also bring a perspective that incorporates experience with many other schools and projects; they contribute new ideas that focus on the vision of the group.

The internal facilitator plays both supporting and leading roles in the change process. The internal facilitator is someone within the system or the school whose role is to be the bridge between innovation and the implementers. Within the Pacific region, strategies for maintaining the skills of local facilitators have been provided through development of leadership groups whose work is assisted by the Pacific Region Educational Laboratory (PREL). These leaders serve as resource people to support the planned change process at home and to link home to outside resources in a number of ways. Outside resources include experts on specific goal areas and needs that cannot be addressed readily at home. Part of the local facilitator's role includes identifying resources closer to home—people with rich experience, knowledge of culture, and/or subject area expertise as well as knowledge of the uniquenesses of the school community.

Significant change in education takes place in fits and starts, ups and downs. People in the process of change range from those who are uninterested to those who are out front, ready to fly. The local facilitator is essential, with knowledge of the implementers' concerns and needs that cannot be matched by external facilitators. Facilitation is therefore a partnership, with complementary knowledge and skills provided by external and internal facilitators.

The implementation phase of change is exhilarating, exhausting, frustrating, and filled with uncertainty. People must give up what they know well and begin the struggle to master new skills and knowledge, to try out and manage new practices, and, ultimately, to shift their belief structure so that the envisioned changes become a part of their everyday behavior. When that happens, they have entered the next phase of change: institutionalization and renewal.

Part 3: Institutionalization and Renewal Phase

Institutionalizing and Renewing Educational Change

Pacific educators are concerned with sustaining the momentum of significant changes now being implemented. Such changes include major community and school partnerships, adoption of the Pacific Region Effective and Successful Schools (PRESS) improvement process, the use of performance assessments related to emerging regional standards, alterations of traditional school calendars, and school/community-based management. Parts 1 and 2 of this series discussed the initiation and implementation phases of change. In this final part, the focus is on institutionalization and renewal of educational changes; that is, how to keep desired changes in place and how to continue to grow.

Institutionalization has occurred when a change becomes a part of people's everyday behavior and beliefs. As Curry (1992) puts it, this is making the change stick. Most educators have experienced a number of school improvement attempts that were abandoned after implementation. Research in the last 20 years reflects this common experience. Lack of success, however, does not seem to discourage educators from trying. Scholars such as Horsley, Terry, Hergert, and Loucks-Horsley (1991) comment that they do not see a decrease in new school changes that are considered and implemented. Educators continue to look for new and better ways to improve the learning experience, and to help teachers and students grow. But have good changes been "lost" by the failure to carry them past implementation to institutionalization?

Researchers on educational reform agree that knowledge of how the change process works is essential to institutionalizing changes. While this point sounds like common sense, Fullan and Miles (1992) observe that few individuals involved in the change process have been trained in the basic knowledge of how successful change takes place. Traditionally, educators have been trained in the substance or content of change; however, usually they have not been trained in the process of change. Today, as educators grow in their awareness of the process of change—particularly of the institutionalization phase where many school reforms fail to survive—there is hope that long-lasting changes can be incorporated into the ongoing school structure.

Questions to Guide Institutionalization and Renewal

In Part 1 of this series, a number of questions were posed to guide educational change. The following review discusses questions related to institutionalization and renewal in more detail:

1. Is our innovation embedded into the educational system?
   Example: Funds for School/Community-Based Management (SCBM) are now part of Hawaii schools' operating budgets rather than temporary add-ons. When a new practice is embedded, it is part of the ongoing budget. It is not added as an occasional or one-time expenditure. It is not removed from the budget once the initial implementation and evaluation phases have been completed. It is not removed from the budget once external funding has ended. The innovation is defined in the budget in detail; ongoing expenditures for additional training and resources continue to be budgeted once the innovation is institutionalized. An embedded innovation is also built into a school's master schedule and programs. Eventually, educators within the school accept the new practices as the usual way things are done.
2. Are our educational improvements linked to instruction?
   Example: In Pohnpei State time is set aside on Thursday afternoons for teacher reflection and professional development to improve instruction. The improvements need to be linked to instruction and day-to-day classroom practices. This means they need to become a part of the organization as well as part of a teacher's day-to-day activities. There is a critical link between professional development for teachers and the

successful implementation and maintenance of school improvements. Studies over the past 15 years confirm that there is more successful change when there is opportunity for ongoing staff development.

It is natural for the energy and intensity level of teachers to diminish after the initial implementation of an innovation. At this point in the change process, it is especially important to have continued renewal and encouragement through staff development that is built into teachers' work schedules in order to avoid burnout or a return to old habits. Staff development, as a key for successful innovations, needs to be embedded in the budget and master schedule.

3. Is there widespread use of improved practices?
   Example: Guam schools engaged in the Onward to Excellence school improvement process implement and monitor new practices across all grade levels—practices expected to help them achieve their schools' goals. New practices need to be used schoolwide—across grades and subject areas—for them to be institutionalized. If implemented in a fragmented or limited way (for example, in one classroom or one grade only), an innovation's use will diminish in time. Ongoing and built-in opportunities for monitoring, training, and problem solving are critical for the widespread and consistent use of the innovation.
4. Have we removed competing priorities so that people involved in the change are protected from additional duties or distractions?
   As educators everywhere agree, overload is a serious obstacle to change. When planning for change, school leaders and teachers must think carefully about competing priorities. Will a teacher be penalized in one area of his or her duties if asked to take on additional duties to help in the change process? Teachers who become overloaded are vulnerable to burnout if release time or reduced teaching loads are not factored into the budget and plan.
5. Is there ongoing assistance?
   Example: The Yap Assessment Project ensures local trainers will be available on a regular basis to schools and teachers. Ongoing assistance does not mean reliance on outside funding. Assistance might be in the form of giving teachers and staff sufficient information and opportunities to practice and develop skills that will strengthen and expand their mastery and understanding. New administrators and teachers need information and support to involve them in change, through such methods as school-based assistance and staff development. Professional development needs to be focused and clearly related to improvement goals. When service providers are needed, they should be chosen because their experience and skills match identified professional development needs.

Staff development should be led by teachers, for teachers, on their own campuses. When teachers come up with the content and theme of these sessions, communication, assistance, and empowerment take place naturally. This contributes to creating an environment in which implementation and institutionalization can take place in natural ways. The structures for making changes from within exist in the individuals, and the group as a whole gains from staff development. Fullan suggests that a refocused staff development process should become "part of an overall strategy for professional and institutional reform" (1990, p. 16).

While emphasizing the role teachers play in the change process, it is also important to keep staff, central office people, and other key players informed in order to develop supportive organizational arrangements. With constant consultation and reinforcement, monitoring, external and internal communication, and availability of information, schools can take charge of change rather than lose their way or their focus during the complex change process.

What Research Tells Us About Institutionalization and Renewal

When institutionalization and renewal have taken place, the results have lasting impact and influence on the schools and students. Individual educators are able to see a difference in their own actions and habits as well as in the work of their students. The opposite is also true. If attempts at change are abandoned or terminated, the new practice does not reach institutionalization. There are few if any ongoing, stable results of the change evident in the classroom or school.

Appreciating the Complexity of the Change Process

Institutionalization and renewal should be viewed as ongoing processes that involve strategic planning from the start, as well as the active participation of many players. Many people think of the change process as linear, viewing the path toward the goal as a straight line with hurdles to jump over along the way. Researchers on educational change advise against this over simplification. Planning and action occur throughout all phases of the reform process. We know that for a variety of reasons many reform plans do not survive the implementation phase. Educators are advised to anticipate as many of the challenges as possible, in order to plan for the institutionalization phase right from the start. While we cannot solve all of the problems before we come to them, we can better prepare if we anticipate the challenges along the way.

Curry (1992) has described various levels of institutionalization without using language that limits it to a linear sequence. She suggests that "institutionalization is achieved to varying degrees over time and involves several levels of implementation." These levels relate to the structure, procedures, and culture of the school.

At the structural level, an educational innovation is represented in many clear ways throughout a school. Examples include such results as: permanently assigning new roles and responsibilities; involving many teachers from within the school; having a line-item in the budget; writing the new program into the curriculum guidelines; and routinely training new or reassigned teachers in the innovation.

These examples correspond closely with the five questions explored earlier in Part 3.

At the procedural level, the policy and action—basic procedures—involved in the change become the teachers' and principals' preferred way of viewing the school. At the cultural level, the school as an institution and the educators as individuals accept the values associated with the innovation and make them a part of the school's organizational culture. Educators are able to say, "This is who we are. This is the way things are done here." As noted in Part 2 on implementation, we know that some*thing* can change when some*one* has changed first.

Institutionalization involves both individuals and the school as a whole. On the one hand, if the district or school has mechanisms in place but there are no enthusiastic educators practicing the innovation with students, there can be no lasting change. On the other hand, the enthusiasm of individual educators using an innovation is helpful but not sufficient. Without organizational support, individual teachers and administrators will gradually discontinue use of the innovation.

Institutionalizing Successful Changes: Lessons from the Past and Present

It is easy to become discouraged about whether new practices can ever be institutionalized as a meaningful part of the improved teaching and learning experience, but there is reason to hope. We know more today about the process of educational change, and there are recommendations that can help lead to successful reforms. Fullan and Miles (1992) suggest a number of propositions for achieving successful reforms. Educational leaders need to recognize that:

- *Change is learning.* There will be many moments loaded with uncertainty. As discussed in Part 2, the implementation dip is a time not to get discouraged. It takes time to learn new activities and ideas. "Even in cases where reform eventually succeeds, things will often go wrong before they go right" (p. 749). Uncertainty and hesitance are a part of all successful change.
- *Change is a journey, not a blueprint.* On any journey, unexpected events occur. We can plan for a journey, but we must be flexible as situations change, and not hold rigidly to the early ideas of how the change will be implemented.
- *Problems are [opportunities].* School reform successes occur in schools that treat problems as natural opportunities to come up with creative solutions.
- *Change is resource-hungry.* Reforms can be successful only when planning includes financial and time resources needed for the innovation. As noted earlier, it is important to predict and factor in ongoing expenses after outside funding sources run out.
- *Change requires the power to manage it.* When groups of cross-role leaders, including teachers, department heads, administrators, students, and parents, are involved in managing the change, they have the legitimacy and power to take necessary steps.
- *Change is systemic.* By systemic reform, we

mean that the change process impacts the organizational and operational systems within the school structure. If all efforts are conducted with systemic reform in mind, changes will have a better chance of sticking because they will be more supported.

- *All large-scale change is implemented locally.* Implementation has to happen every day by individual teachers, principals, parents, and students in individual schools. Change takes place in the school itself and by the individual players, not in an office miles away.

Fullan explores new questions in his most recent book, *Change Forces: Probing the Depths of Educational Reform*, and adds lessons on the paradigm of change. His new perspective on change shows that it involves not only careful planning of systems but, equally, individual effort and adaptability.

- *"You can't mandate what matters. (The more complex the change the less you can force it.)"* Successful change occurs naturally and willingly, as individuals and groups involved in a change effort develop the necessary skills and share a deep understanding of the new solutions. As noted by Hubbard (1988), when change is forced so that we have the feeling that the change is done "to us" rather than "by us" the response is one of loss of control, frequently resulting in resistance or rejection, and sometimes even sabotage of the change.
- *"[Detailed] vision and strategic planning come later. (Premature visions and planning can blind.)"* This idea introduces a revision in Fullan's earlier advice about planning. He suggests that we cannot plan for everything in advance, since visions often come from reflection after or resulting from action. A shared vision, he states, evolves through dynamic interaction between the organization's leaders and members.
- *"Individualism and collectivism must have equal power. (There are no one-sided solutions.)"* Change takes place within individuals or there is no impact; equally, it is the collaboration of individuals that results in powerful changes in student learning.
- *"Neither centralization nor decentralization works. (Both top-down and bottom-up strategies are necessary.)"* The two points noted above remind us again that change happens in dialogue, not in isolation. Educational centers of power and local schools need each other; principals and teachers need each other. Decisions need to be made collaboratively, with a sense of consensus as the change process moves along. From these lessons Fullan concludes that we need to work individually and together toward collaborative change, and that we do not have to or, rather, *cannot* have all of the answers at the beginning.
- *"Connection with the wider environment is critical for success. (The best organizations learn externally as well as internally.)"* Seeking ideas and examples from other schools and other nations is part of the process, a process that involves the ongoing use of research.
- *"Every person is a change agent. (Change is too important to leave to the experts).*" The final two insights noted above illustrate that every educator has the responsibility to help create an organization that is able to reflect and make decisions, individually and collectively, in order to have continual renewal.

Do not be discouraged by the number of lessons that need to be learned! Rather, use the lessons as a sounding board for providing ideas during reflection on the phases of change impacting your school at the present time. Change *is* complex but, viewed in light of the lessons presented above, we can see that change presents individual educators, schools, and school systems with valuable opportunities for reflection, insight, learning, and tremendous growth.

Funding as Obstacle as Well as Opportunity

Financial assistance from external sources is usually considered vital for initial implementation of any innovation. However, it should be noted that with regard to institutionalization, "the larger the external resource support, the *less likely* the effort will be continued after external funds terminate, because the district will not be able to afford to incorporate the costs into its regular budget" (Fullan & Steigelbauer, 1991, p. 89; emphasis in original). Too many times educators have seen an innovation end as soon as the external funding ceases. It is essential, then, to think of ways to factor

institutionalization and renewal cost-estimates into the budget before an innovation is implemented, in order to ensure the likelihood of its continuation. With forethought to identifying ongoing costs and the means of meeting those costs, innovations have a better chance of survival. Adapting materials and processes to Pacific cultures and environments is also essential.

As mentioned above, it is important to acknowledge both the individual and organizational forms of institutionalization and renewal. In every planning stage, careful thought should be given to how the innovation can be supported and renewed within the classroom by individual teachers, as well as within the structure of the school and district. This includes a) planning for ongoing maintenance, b) ensuring administrative support, c) renewing staff commitment and skills, and d) creating the capacity for ongoing reflection.

Where Do We Go From Here?

Because change is an inevitable part of any school, it is essential for Pacific educators to become leaders in the change process by reading, observing, and participating fully to have an impact on their schools and classrooms—and, ultimately, on their students' performance. Change is essential to improving the quality of learning opportunities for students. We have learned that change requires both systemic and individual efforts. To be successful, change efforts must be able to provide lasting results through institutionalization and renewal. Successful changes can occur only as educators, individually and together, seek out opportunities to reflect, learn, share the vision, and act in concert to make dynamic changes take place and take hold.

A final note of caution should be added. Changes in practices, materials, school culture, and structures are all aimed at improving students' performance and their future success. Therefore, it is critical that assessment practices and procedures provide a rich and complex portrait of student learning. A mismatch of assessments and learning outcomes can destroy an educational innovation or mask significant student growth.

People and schools in the process of change face frustrating challenges, and periods of doubt or anxiety along the way. These difficulties are to be expected as a necessary part of building toward successful and lasting changes. As Fullan reminds us, we need to view our problems as a means to help us grow. Accepting and facing the challenges can bring learning and insights that lead to realistic expectations and collaborative planning. Finally, these *can* culminate in developing the ability to reach, sustain, and renew shared educational improvements in the Pacific region.

Bibliography

Part 1: Overview and Initiation Phase

Anderson, B., & Cox, P. (1987). Configuring the education system for a shared future: Collaborative vision, action, reflection. Andover, MA: Regional Laboratory for Educational Improvement of the Northeast and Islands.

Fullan, M. (1985). Change process and strategies at the local level. The Elementary School Journal, 84(3), 391-420.

Fullan, M. (1987). Implementing educational change: What we know. Paper prepared for the World Bank, Washington, DC.

Fullan, M. (1990). Staff development, innovations and institutional development. In B. Joyce (Ed.), Changing school culture through staff development (pp. 3-25). Alexandria, VA: Association for Supervision and Curriculum Development.

Fullan, M. (1991). Productive educational change. East Sussex, United Kingdom: Falmer Press.

Fullan, M., & Stiegelbauer, S. (1991). The new meaning of educational change (2nd ed.). New York: Teachers College Press.

Glickman, C. (1991, March). The League of Professional Schools. Presentation at the annual meeting of the Association for Supervision and Curriculum Development, San Francisco.

Hord, S.M., Rutherford, W., Huling-Austin, L., & Hall, G.E. (1987). Taking charge of change. Alexandria, VA: Association for Supervision and Curriculum Development.

Huberman, M., & Miles, M. (1984). Innovation up close. New York: Plenum.

Little, J.W. (1987). Teachers as colleagues. In V. Richardson-Koehler (Ed.), Educators handbook (pp. 491-518). White Plains, NY: Longman.

McLaughlin, M.W. (1990). The Rand Change Agent Study revisited: Micro realities. Educational Researcher, 19(9), 11-16.

Miles, M.B. (1983, December). Unraveling the mystery of institutionalization. Educational Leadership.

Peters, T. (1987). Thriving on chaos: Handbook for a management revolution. New York: Knopf.

Sarason, S. (1982). The culture of the school and the problem of change (rev. ed.). Boston: Allyn and Bacon.

Sarason, S. (1990). The predictable failure of educational reform. San Francisco: Jossey-Bass.

Part 2: Implementation Phase

CBAM summary. (1990). Rural Successful Schools. Portland, OR: Northwest Regional Educational Laboratory.

Corbett, H.D. & D'Amico, J.J. (1986). No more heroes: Creating systems to support change. Educational Leadership, 44, 70-72.

Corbett, H.D. & Rossman, G.B. (1989). Three paths to implementing change: A research note. Curriculum Inquiry, 164-190.

Corbett, H.D., Rossman, G.B., & Firestone, W.A. (1987). Resistance to planned change and the sacred in school cultures. Educational Administration Quarterly, 23(4), 36-59.

Cox, P.L. (1983). Complementary roles in successful change. Educational Leadership, 41, 10-13.

Deal, T.E., & Nutt, S.C. (1979). Promoting, guiding, and surviving change in school districts. Cambridge, MA: Abt Associates.

Fullan, M.G. (1989). Implementation factors. School Improvement Program Distinguished Lecturer Series, Portland, OR.

Fullan, M.G., & Miles, M.B. (1992, June). Getting reform right: What works and what doesn't. Phi Delta Kappan.

Fullan, M.G., & Stiegelbauer, S. (1991). The new meaning of educational change (2nd ed.). New York: Teachers College Press.

Hall, G., & Hord, S.M. (1984). Change in schools: Facilitating the process. Albany, NY: State University of New York Press.

Highlights: Research on change. (1989). Onward to Excellence (Workshop 1: Getting Started). Portland, OR: Northwest Regional Educational Laboratory.

Hord, S.M., Rutherford, W.L., Huling-Austin, L., & Hall, G.E. (1987). Taking charge of change. Alexandria, VA: Association for Supervision and Curriculum Development.

Hunt, D.E. (1987). Beginning with ourselves: In practice, theory, and human affairs. Cambridge, MA: Brookline Books.

Liebowitz, M. (1991). Sustaining educational change. Preconference presentation at the annual conference of the Association for Supervision and Curriculum Development, San Francisco, CA.

Loucks-Horsley, S., & Cox, P.L. (1984, April). It's all in the doing: What recent research says about implementation. Paper presented at the American Educational Research Association.

Moses, M. (1992). The peak performance school. Presentation at the Hawaii Association for Supervision and Curriculum Development, Honolulu.

Ramsay, P., Hawk, H., Harold, B., Marriott, R., & Poskitt, J. (1990). There's no going back: Collaborative decision making in education. Final Report CRRISP. Hamilton: University of Waikato.

Robertson, J., & Ramsay, P. (1992). Creating conditions for change: Results from three observational studies in New Zealand. Paper presented at the annual conference of the Association for Supervision and Curriculum Development, New Orleans, LA.

Sparks, D. (1992, June 10). 13 tips for managing change. Education Week, p. 22.

Part 3: Institutionalization and Renewal Phase

Cox, P., French, L., & Loucks-Horsley, S. (July 1987). Getting the principal off the hotseat: Configuring leadership and support for school improvement. Andover, MA: Regional Laboratory for Educational Improvement of the Northeast and Islands.

Cuban, L. (1988). Why do some reforms persist? Educational Administration Quarterly, 24(3), 329-35.

Curry, B. (1992). Instituting enduring innovations: Achieving continuity of change in higher education. (ASHE ERIC Higher Education Report No. 7). Washington, DC: George Washington University, School of Education and Human Development.

Fullan, M. (1993). Change forces: Probing the depths of educational reform. Bristol, PA: Falmer Press.

Fullan, M.G., & Miles, M.B. (1992, June). Getting reform right: What works and what doesn't. Phi Delta Kappan.

Fullan, M.G., & Stiegelbauer, S. (1991). The new meaning of educational change (2nd ed.). New York: Teachers College Press.

Honig, B. (1988). The key to reform: Sustaining and expanding upon initial success. Educational Administration Quarterly, 24(3), 257-71.

Hord, S.M., Rutherford, W.L., Huling-Austin, L., & Hall, G.E. (1987). Taking charge of change. Alexandria, VA: Association for Supervision and Curriculum Development.

Horsley, D., Terry, W. III, Hergert, L., & Loucks-Horsley, S.(1991). Managing change in rural schools, an action guide. Andover, MA: Regional Laboratory for Educational Improvement of the Northeast and Islands.

Hubbard, E.E. (1988). Managing organizational change: Practical lessons for building commitment. Petaluma, CA: Global Insights Publications.

Little, J.W. (1988). Conditions of professional development in secondary schools. Stanford, CA: Center for Research on the Context of Secondary Teaching.

McLaughlin, M.W. (1990). The Rand Change Agent Study revisited: Micro realities. Educational Researcher, 19(9), 11-16.

Miles, M.B., & Louis, K.S. (1986). Research on institutionalization: A reflective view. In M. B. Miles, M. Ekholm, & R. Vandenberg (Eds.), Lasting "school" improvement: Exploring the process of institutionalization. Lucerne: International School Improvement Project.

Northwest Regional Educational Laboratory (n.d.). Onward to excellence: Trainer manual. Portland, OR: Northwest Regional Educational Laboratory.

Shanker, A. (1990). Staff development and the restructured school. In B. Joyce (Ed.), Changing school culture through staff development (pp.91-103). Alexandria, VA: Association for Supervision and Curriculum Development.

This publication was produced with funds from the Office of Educational Research and Improvement (OERI), U.S. Department of Education, under contract number RP91002009. The content does not necessarily reflect the views of OERI, the Department, or any other agency of the U.S. Government.